

12-11-01

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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	05670P004
First Inventor	Arumugam Manthiram
Title	Surface/Chemically Modified Oxide Cathodes for Lithium-Ion Batteries
Express Mail Label No.	EL 863955394 US

J1102 U.S. PTO

10/010858

12/05/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **19**]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **7**]
5. ☒ Oath or Declaration [Total Pages **1**]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Check

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____ Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☒ Customer Number or Bar Code Label **008791** or ☐ Correspondence address below
(Insert Customer No. or Attach Bar code label here)

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Charles P. Landrum, Patent Agent

Registration No. (Attorney/Agent)

46,855

Signature

Charles P. Landrum

Date

December 5, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known

Application Number	Filed concurrently herewith
Filing Date	December 5, 2001
First Named Inventor	Arumugam Manthiram
Examiner Name	Not yet assigned
Group Art Unit	Not yet assigned
Attorney Docket No.	05670P004

TOTAL AMOUNT OF PAYMENT (\$) 628.00

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666
 Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION**1. BASIC FILING FEE**

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370	Utility filing fee	370
106	330	206 165	Design filing fee	
107	510	207 255	Plant filing fee	
108	740	208 370	Reissue filing fee	
114	160	214 80	Provisional filing fee	
SUBTOTAL (1)				(\$) 370.00

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	30	-20** = 10 X 9 = 90	
Independent Claims	7	-3** = 4 X 42 = 168	
Multiple Dependent			0

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103	18 203 9		Claims in excess of 20
102	84 202 42		Independent claims in excess of 3
104	280 204 140		Multiple dependent claim, if not paid
109	84 209 42		** Reissue independent claims over original patent
110	18 210 9		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 258.00

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130 205 65		Surcharge - late filing fee or oath	
127	50 227 25		Surcharge - late provisional filing fee or cover sheet	
139	130 139 130		Non-English specification	
147	2,520 147 2,520		For filing a request for ex parte reexamination	
112	920* 112 920*		Requesting publication of SIR prior to Examiner action	
113	1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115	110 215 55		Extension for reply within first month	
116	400 216 200		Extension for reply within second month	
117	920 217 460		Extension for reply within third month	
118	1,440 218 720		Extension for reply within fourth month	
128	1,960 228 980		Extension for reply within fifth month	
119	320 219 160		Notice of Appeal	
120	320 220 160		Filing a brief in support of an appeal	
121	280 221 140		Request for oral hearing	
138	1,510 138 1,510		Petition to institute a public use proceeding	
140	110 240 55		Petition to revive - unavoidable	
141	1,280 241 640		Petition to revive - unintentional	
142	1,280 242 640		Utility issue fee (or reissue)	
143	460 243 230		Design issue fee	
144	620 244 310		Plant issue fee	
122	130 122 130		Petitions to the Commissioner	
123	50 123 50		Processing fee under 37 CFR 1.17(q)	
126	180 126 180		Submission of Information Disclosure Stmt	
581	40 581 40		Recording each patent assignment per property (times number of properties)	
146	740 246 370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740 249 370		For each additional invention to be examined (37 CFR § 1.129(b))	
179	740 279 370		Request for Continued Examination (RCE)	
169	900 169 900		Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) -0-

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Charles P. Landrum, Patent Agent	Registration No. (Attorney/Agent)	46,855	Telephone	512-330-0844
Signature	<i>Charles P. Landrum</i>	Date	December 5, 2001		

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Certificate under 37 CFR 1.10 of Mailing by "Express Mail"

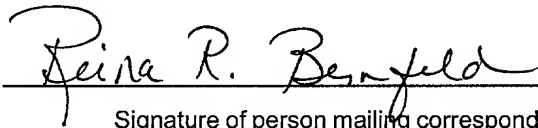
EL 863955394 US

"Express Mail" label number

December 5, 2001

Date of Deposit

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.



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